Chapter 18

<u>Policies and Plans Required by Law</u>

<u>Library Development has copies of other by-laws and policies</u>. You may have these interlibrary loaned to you at any time during the year.

When you develop a new policy or update an old policy be sure to send Library Development Office a copy for the vertical file or send us the Web address so that we may create a link to it from State Library's Web site.

For examples of **policies** from Indiana public libraries, go to the following link on the State Library's Web site:

http://www.statelib.lib.in.us/www/isl/ldo/pol/plpolicies.html

For examples of **plans** from Indiana public libraries, go to the following link on the State Library's Web site:

http://www.statelib.lib.in.us/www/isl/ldo/plplans.html

A.   **"<u>Minimum Standards for Public Libraries</u>"**
       Policies/plans needed to fulfill the <u>minimum requirements</u>:
- **Library Board By-laws**
- **Long-Range Plan**
- **Technology Plan** A technology plan is the only plan or policy that is required to be approved and filed with the Indiana State Library if you will be applying for the e-rate discount. This plan must be approved in order to receive the e-rate discount on Internet lines.
- **Collection Development Policy**
- **Personnel Policy and Procedures**
- **Principles of Access/Circulation Policy,**

     Including a Fines and Fees Policy

     *see Accounting and Uniform Compliance Guidelines Manual for Libraries 1-3

B. **Disaster Recovery Plan for Computer Systems**

*see Accounting and Uniform Compliance Guidelines Manual for Libraries 5-4

C. **Employee Benefits**

*see Accounting and Uniform Compliance Guidelines Manual for Libraries 8-1
(Could be a part of the Personnel policy)

- sick leave
- vacation leave
- personal leave
- leave time/compensatory time/payment of overtime
- public employee's retirement fund (PERF)
- deferred compensation plan

D. **Internet Acceptable Use Policy**

IC 36-12-1-12 (reviewed annually); Internet Safety Policy – Children's Internet Protection Act (CIPA) and Neighborhood Children's Internet Protection Act (N-CIPA) (PL 106-554), adopted after holding one public hearing or meeting. For libraries receiving the e-rate discount, the policy must address the following issues:

- access by minors to inappropriate matter on the Internet and World Wide Web
- the safety and security of minors when using electronic mail, chat rooms, and other forms of direct electronic communications
- unauthorized access, including hacking, and other unlawful activities by minors online
- unauthorized disclosure, use, and dissemination of personal identification information regarding minors
- measures designed to restrict minors' access to materials harmful to minors

E. **Investment Policy**

IC 5-13-7-7, *see Accounting and Uniform Compliance Guidelines Manual for Libraries 9-14

F. **<u>Moving and Interview Expense Policy</u>**
(Could be a part of the Personnel policy) *see <u>Accounting and Uniform Compliance Guidelines Manual for Libraries</u> 8-4

G. **<u>Policies and Procedures Manual</u>**
(A type of manual in which all policies within this outline can be placed)

H. **<u>Purchasing Policy</u>**
IC 5-22-3-3, *see <u>Accounting and Uniform Compliance Guidelines Manual for Libraries</u> (Small Purchase Policy-under $25,000) 10-7

I. **<u>Records Excepted from Disclosure Policy</u>**
IC 5-14-3-4(b), *see <u>Accounting and Uniform Compliance Guidelines Manual for Libraries</u> 6-4

J. **<u>Travel Policy</u>**
(Could be a part of the Personnel policy), *see <u>Accounting and Uniform Compliance Guidelines Manual for Libraries</u> 8-3

General Policies Checklist

1. **Administration and Governance**
    - ❑ Board responsibilities
    - ❑ Managerial and staff responsibilities
    - ❑ Strategic planning and forecasting

2. **Personnel**
    - ❑ Recruitment, hiring, and termination
    - ❑ Conditions of employment
    - ❑ Training and development (including a travel policy)
    - ❑ Job descriptions
    - ❑ Wages and salaries
    - ❑ Work environment (including a sexual harassment policy)
    - ❑ Collective bargaining
    - ❑ Fringe benefits
    - ❑ Other (grievances, substance abuse, reimbursements, etc.)

3. **Finance**
    - ❑ Budget type and calendar cycle
    - ❑ Source and type of funding
    - ❑ Capital budgeting requirements
    - ❑ Investments
        - ❑ Legal authority
        - ❑ Safety of principal
            - ❑ Diversification
            - ❑ Indemnification
        - ❑ Liquidity
            - ❑ Maturities
        - ❑ Maximum rate of return
    - ❑ Maintaining public trust
    - ❑ Local considerations
    - ❑ Reporting requirements
    - ❑ Expenditure authorization and check-signing
    - ❑ Audits

4. **Programs/Services**
   - ❑ Library mission
   - ❑ Selection of materials
   - ❑ Use of materials
   - ❑ Reference and reader's assistance
   - ❑ Extension of services--expansion/outreach
   - ❑ Cooperative activities
   - ❑ Review and evaluation

5. **Marketing**
   - ❑ Product/service offered
   - ❑ Cost to user
   - ❑ Publicity/promotion
   - ❑ Location

6. **Facility and Equipment**
   - ❑ Location
   - ❑ Inventory control
   - ❑ Maintenance and repair
   - ❑ Sale/disposal of surplus property

7. **Public Relations**
   - ❑ Responsibility
   - ❑ Intended audience
   - ❑ Purpose
   - ❑ Means

8. **Legal**
   - ❑ By-laws
   - ❑ Contracts and agreements
   - ❑ Insurance
   - ❑ Licensing

(Adapted from Nonprofit Boards: A Practical Guide to Roles, Responsibilities, and Performances, by Diane J. Duca, with permission from the Oryx Press, 2214 North Central Avenue, Phoeniz, AZ 85004)

Source: Checklists for Public Library Managers by Jay Wozny. Scarecrow Press, 1989, pg. 25-26.

<u>Personnel Policies Checklist</u>
(Short Version)

1. **<u>Filling Vacancies</u>**
    - ❑ Recruitment
    - ❑ Selection
    - ❑ Appointment

2. **<u>Personnel Procedures</u>**
    - ❑ Conditions of employment, including definitions of important terms
    - ❑ Orientation period
    - ❑ Performance evaluation
    - ❑ Promotions
    - ❑ Grievance procedures
    - ❑ Personnel records
    - ❑ Separations from employment

3. **<u>Salaries and Position Classifications</u>**
    - ❑ Position pay scales, including hiring limits
    - ❑ Requirements for pay increases
    - ❑ Overtime
    - ❑ Time and place of payment

4. **<u>Benefits</u>**
    - ❑ Insurance
    - ❑ Retirement
    - ❑ Worker's Compensation

5. **<u>Staff training and Development</u>**
    - ❑ In-service training
    - ❑ Formal education
    - ❑ Professional affiliation
    - ❑ Tuition reimbursement

6. **<u>Vacation and Leave</u>**

- Vacation
- Sick leave
- Holidays
- Personal leave
- Professional/educational leave
- Jury duty
- Military duty
- Emergency leave
- Maternity/paternity leave

(Adapted from Avenues to Excellence, Standards for Public Library Service in Illinois, Appendix C, Personnel Policies. Illinois Library Association, Public Library Section, Standards Committee.)

Source: Jay Wozny. Checklists for Public Library Managers. Scarecrow Press, 1989, p. 83-84.

Personnel Policies Checklist

(Possible topics to cover)

1. **Employment-At-Will Disclaimer**

2. **Job Classifications**; full-time and part-time status

3. **Orientation/trial Period**

4. **Equal Employment Opportunity Statement**

5. **Sexual Harassment Policies**

6. **Work Rules and Disciplinary Policy and Procedures** — common items included may be:
   - excessive absences, tardiness, or early leaves
   - use, possession, actual or intended distribution or being under the influence of drugs, controlled substances, or alcohol
   - insubordination
   - refusal to cooperate with investigation
   - falsification of library records, including the employment application
   - negligent or unauthorized use of library equipment
   - harassment, physical abuse or verbal abuse of employees, patrons, or visitors
   - gambling during working hours
   - theft or unauthorized use or possession of library property or another person's property
   - soliciting or seeking support or contributions during working time for any cause or organization without management approval
   - violation of safety rules or common safety practices
   - failure to make a prompt report of any accident on library property
   - inattention to the job, or poor job performance
   - failure to observe library working hours, schedules, including scheduled overtime
   - disclosure of confidential information to unauthorized persons
   - possession of weapons on library property

7. **Hours of Work**, **Layoff/Recall**

8. **Military Leave**

9. **Jury Service**

10. **Bereavement Leave**

11. **Attendance Policy**

12. **Vacation**

13. **Holidays**

14. **Personal Days**

15. **Sick Days**

16. **Union-Free Workplace Statement**

17. **Open Door Statement** (do not restrict employees from communicating with members of management other than their immediate supervisors)

18. **Bulletin Boards** — fosters communication between employees

19. **Substance Abuse Policy**

20. **Family and Medical Leave Act Policies**

21. **Smoking** – can prohibit in facility

22. **Dress Code**

23. **References** — prevents employer from releasing references that will cause it to be held liable for defamation

24. **Promotion/Transfer/Job Openings**

25. **Timekeeping Requirements**

26. **Health Insurance, Disability Benefits Programs, Deferred Compensation, and PERF**

27. **Confidential Information**

28. **Personal Belongings**

29. **Employment of Relatives**

30. **Safety and Health**

31. **Inclement Weather/Emergencies**

32. **Telephone** (for customer satisfaction and for employee's personal calls)

33. **Internet/E-mail**

34. **Employee Examination of Personnel Files** — employer may decide whether employees may review their files or not; documents should not be removed.

35. **Termination of Employment**

36. **Receipt/Acknowledgement –** helps to ensure that the employee has read the handbook.

Adapted from a Barnes & Thornburg handout, 1998.